

11/08/01
U.S. PTO
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Approved for use through 10/31/2002. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	SPARKOLOR 01-005
First Inventor	David A.G. Deacon
Title	WAVELENGTH TUNABLE OPTICAL COMPONENTS.
Express Mail Label No.	ET418725686US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 51]
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 12]
5. Oath or Declaration [Total Pages 2]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: Cert. of Mailing,

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76.

Continuation Divisional Continuation-in-part (CIP) of prior application No. _____

Prior application information: Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	29323 <small>[Redacted] Insert Customer No. or attach bar code later here</small>		<input type="checkbox"/> Correspondence address below
Name	Ralph Veseli		
Address	Sparkolor Corporation 2230 Martin Avenue		
City	Santa Clara	State	CA
Country	U.S.A.	Telephone	408/350-0491
Name (Print/Type)	Ralph Veseli	Registration No. (Attorney/Agent)	33,807
Signature	<i>Ralph Veseli</i>		Date 11/08/2001

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 938.00)

Complete If Known	
Application Number	
Filing Date	
First Named Inventor	David A.G. Deacon
Examiner Name	
Group Art Unit	
Attorney Docket No.	SPARKKOLOR 01-005

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 50-2007

Deposit Account Name Ralph Veseli

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	690	201 345 Utility filing fee	370
106	310	206 155 Design filing fee	
107	480	207 240 Plant filing fee	
108	690	208 345 Reissue filing fee	
114	150	214 75 Provisional filing fee	
SUBTOTAL (1) (\$)			370

2. EXTRA CLAIM FEES

Extra Claims	Fee from below	Fee Paid
Total Claims 60	20** = 40 x 9 = 360	360
Independent Claims 7	- 3** = 4 x 42 = 168	168
Multiple Dependent		

*or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	78	202 39 Independent claims in excess of 3
104	260	204 130 Multiple dependent claim, if not paid
109	78	209 39 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)		

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	
105	130	205 65 Surcharge - late filing fee or oath		
127	50	227 25 Surcharge - late provisional filing fee or cover sheet		
139	130	139 130 Non-English specification		
147	2,520	147 2,520 For filing a request for ex parte reexamination		
112	920*	112 920* Requesting publication of SIR prior to Examiner action		
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action		
115	110	215 55 Extension for reply within first month		
116	380	216 190 Extension for reply within second month		
117	870	217 435 Extension for reply within third month		
118	1,360	218 680 Extension for reply within fourth month		
128	1,850	228 925 Extension for reply within fifth month		
119	300	219 150 Notice of Appeal		
120	300	220 150 Filing a brief in support of an appeal		
121	260	221 130 Request for oral hearing		
138	1,510	138 1,510 Petition to institute a public use proceeding		
140	110	240 55 Petition to revive - unavoidable		
141	1,210	241 605 Petition to revive - unintentional		
142	1,210	242 605 Utility issue fee (or reissue)		
143	430	243 215 Design issue fee		
144	580	244 290 Plant issue fee		
122	130	122 130 Petitions to the Commissioner		
123	50	123 50 Petitions related to provisional applications		
126	240	126 240 Submission of Information Disclosure Stmt		
581	40	581 40 Recording each patent assignment per property (times number of properties)	40	
146	690	246 345 Filing a submission after final rejection (37 CFR § 1.129(a))		
149	690	249 345 For each additional invention to be examined (37 CFR § 1.129(b))		
179	690	279 345 Request for Continued Examination (RCE)		
169	900	169 900 Request for expedited examination of a design application		
Other fee (specify) _____				
Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$)	

Complete (if applicable)

Name (Print/Type)	Ralph Veseli	Registration No (Attorney/Agent)	33,807	Telephone	408/350-0491
Signature	Ralph Veseli			Date	11/08/2001

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SPARKOLOR 01-005

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ET418725686US

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Signature of person mailing correspondence

Ralph Veseli

Typed or printed name of person mailing correspondence

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